

State Historic Preservation Office

Historic Restoration Fund Grant Program Guidelines and Application Instructions

May 2014

Table of Contents

Historic Restoration Fund Grant Overview	3
Applicants.....	4
Eligible and Ineligible Properties.....	5
What We Fund	6
How to Apply.....	7
Selection Process	7
Preservation Restriction.....	8
Grant Administration	9
Grant Cancelation	9
Request for Reimbursement.....	9
Application Guidance	10-18
Application Checklist.....	19-20

Historic Restoration Fund Grants Overview (HRF)

The State Historic Preservation Office (SHPO) offers matching, reimbursement Historic Restoration Fund Grants to Connecticut municipalities and 501(c)3 and 501(c)13 nonprofits to be used for the restoration, rehabilitation, stabilization, archaeological investigation or acquisition of Connecticut's historic resources which are listed in the State or National Registers of Historic Places.

The property must be owned by a municipality or a 501(c)3 or 501(c)13 nonprofit organization and the grant awards are paid as a onetime reimbursement. Applications are accepted once a year.

- Grant awards range from \$5,000-\$200,000;
- Grant awards must be matched on a one-to-one basis with cash (no in-kind services allowed);
- Matching funds cannot be funds from the State of Connecticut. Federal funds or other non-state funds may be used;
- Facilities must be open to the public or work must be visible to the public;
- A preservation easement of limited duration must be placed on the property following completion of the project;
- Grant funds are paid to grantees on a single-payment reimbursement basis following the completion of the project and approval of all work by staff; and
- Project work must be consistent with the Secretary of the Interior's Standards for the Treatment of Historic Properties

HRF Grants are funded by the Community Investment Act. "The Community Investment Act" (also known as Public Act 05-228) was signed into law on July 11th, 2005. The Act provides increased funding for open space, farmland preservation, historic preservation and affordable housing.

HRF grants require Design Development level plans and specifications to be completed by a Historical Architect who meets the Secretary of the Interior's Professional Qualifications Standards as published in the Code of Federal Regulations, 36 CFR Part 61.

The use of state and/or federal funds requires an open bidding process. Contractors cannot be pre-selected and any potential contractor cannot play any role in the design of the project or application.

Grantees may only have one active SHPO HRF grant at a time. Any existing grants must be officially closed before a new application is submitted to SHPO.

Applicants:

Eligible applicants:

- Connecticut municipalities
- 501(c)(3) or 501(c)(13) nonprofit organizations that have had tax-exempt status for at least two years

Ineligible applicants:

- Federal agencies
- State agencies
- “Friends” groups of federal or state agencies except for projects involving archaeological survey
- Projects on state land.
- For-profit businesses or organizations
- Individuals
- Service organizations or clubs

No agency or organization can act as a fiscal agent to receive or disburse Historic Restoration Fund Grant funding.

Eligible Properties:

- Connecticut buildings, structures, objects, and sites that are listed in the State or National Registers of Historic Places
- Properties must be owned by either a municipality or a 501(c)(3) or 501(c)(13) nonprofit organization
 - Properties that are owned by a municipality but leased to a 501(c)(3) or 501(c)(13) nonprofit organization are eligible for the HRF program; however the nonprofit organization must have a long-term lease of at least 20 years at the time of the application

Ineligible Properties:

- Properties owned by private individuals or corporations
- Federally-owned properties
- Properties not listed in the State or National Registers of Historic Places
 - To determine if your property is listed or to determine if your property is eligible for listing in the State or National Registers of Historic Places, please contact Stacey Vairo, State and National Register Coordinator at Stacey.Vairo@ct.gov

What We Fund:

Eligible Activities and Costs:

- Rehabilitation
- Restoration
- Stabilization
- Archaeological Investigation
- Acquisition of eligible properties
- ADA Accessibility
- Mechanical Upgrades

Ineligible Activities and Costs:

- Costs incurred prior to the contract start date
- Costs incurred after to the contract expiration date
- Pre-development costs
- Archaeological salvage
- Archival research
- Court actions
- Curation
- Equipment purchase
- Fines or penalties
- Fundraising efforts
- General operating expenses
- Hospitality expenses including food, beverages, entertainment
- Interest payments
- Interpretive expenses
- Lobbying activities
- Nonconformance with the Secretary of the Interior's Standards for the Treatment of Historic Properties
- Projects already underway
- Political contributions
- Regranting
- Scholarships
- Software acquisition
- Travel

Only project specific expenses that have been approved by SHPO are eligible toward the grant.

How to Apply

Application Information

Applications are accepted annually. The deadline for applications is 4:00 on the last Friday in October. Any applications submitted past this time and date will not be accepted.

The 2013 HRF Application is an online application; no paper copies will be accepted. All supplemental materials and hard copies of required documents must be received by SHPO by the deadline.

Only complete applications will be considered for funding. If an application is incomplete, the project will be considered ineligible for funding.

Grant Selection and Scoring Criteria

HRF is a competitive grant and SHPO staff scores each application according to a pre-determined set of criteria.

The Scoring Sheet and Scoring Guidance can be found on our website.

Preservation Restriction

HRF Grantors are required to provide the State Historic Preservation Office (SHPO) with a Preservation Restriction of limited duration on the property that is the beneficiary of funding from either of these programs. The Preservation Restriction is placed on the entire legal parcel.

Under the terms of the Preservation Restriction, the property owner agrees:

1. Not to perform any work on the property other than routine maintenance without the permission of the SHPO
2. To ensure reasonable opportunities for the public to view the property which has benefited from an infusion of state dollars; and not to change the use of the property without the prior consent of the SHPO.

The timeframe for SHPO Preservation Restrictions is determined by the amount of grant funds actually received and utilized to complete the project in accordance with the following schedule:

- (a) grant assistance from \$0 to \$20,000: five-year Preservation Restriction;
- (b) grant assistance from \$20,001 to \$50,000: ten-year Preservation Restriction;
- (c) grant assistance from \$50,001 to \$100,000: fifteen-year Preservation Restriction;
- (d) grant assistance in excess of \$100,000: twenty-year Preservation Restriction.

If the property has an active Preservation Restriction, the applicant will complete an amendment to the existing Preservation Restriction. The amendment extends the existing Preservation Restriction according to the schedule above.

**A sample of the Preservation Restriction can be found on
our website**

Grant Administration

Once a grant is awarded by the Historic Preservation Council and the Advisory Committee on Culture and Tourism, SHPO will send the grantee an Assistance Agreement between DECD and the grantee. These contracts must be signed and returned to SHPO within 30 days. Grantees are required to credit SHPO and the Historic Restoration Fund Grant program in all print, audio, video, internet and publicity materials.

Grant Cancellations

SHPO has the right to withhold, reduce or cancel grants if an organization:

- Owes final reports from previous non-construction grants that are overdue
- Fails to comply with the terms of the grant contract
- Does not start a project within 90 days of the grant contract execution
- Demonstrates inadequate financial management or oversight
- Does not properly credit SHPO support
- Experience significant changes in the scope of work
- Completes work without prior approval of SHPO
- Experiences significant delays in the grant project
- The project does not meet the Secretary of the Interior's Standards for the Treatment of Historic Properties

Request for Reimbursement

As stated above, all HRF grants are one-time reimbursement grants. Once the project is complete, a close-out package must be submitted to SHPO for review and approval. A final site visit is also required to close a grant. Upon approval, SHPO will submit a grant reimbursement request to the DECD Office of Financial Administration. Reimbursement usually takes 4-6 weeks.

Application Guidance and Instructions

The 2014 Historic Restoration Fund grant application is an online application. All applications must be submitted online and completed by the application deadline. In addition hard copies of the plans and specifications as well as all additional documentation/information must also be received by the deadline.

Applicant Information

1. Please answer each question
2. Is the applicant a 501c3 or 501c13 nonprofit? If so, please:
 - a) Upload the IRS determination letter on the main page of the website
3. A Certified Resolution must be completed with each application. A sample document and instructions can be found on our website
 - a) Upload the certified resolution on the main page of the website
 - b) Submit the original, notarized document to SHPO
4. Does the applicant agree to comply with all provisions of applicable Local, State, and Federal laws and approvals and Executive Orders?
5. Is the applicant a Certified Local Government? Certified Local Governments are municipalities that have a preservation partnership with the SHPO and the National Park Service. A list of Certified Local Governments can be found at:
http://grants.cr.nps.gov/CLG_NEW/CLG_REVIEW/search.cfm
6. All applicants must complete a W-9 and Vendor Profile form which can be found on our website
 - a) Upload the W-9 and Vendor Profile on the main page of the website
 - b) Submit the original W-9 and Vendor Profile to SHPO

7. All applicants must complete the Commission on Human Rights and Opportunities Form (CHRO) which can be found on our website
 - a) Upload the CHRO Form on the main page of the website
 - b) Submit original signed CHRO Form to SHPO
8. Has the applicant received a grant from SHPO in the past? If yes, please:
 - a) list any grants previously received from SHPO including the type of grant, award date, and amount
9. Please list the three most recent capital projects completed by the applicant on this property or any other property listed or eligible for listing on the State or National Register of Historic Places.
 - a) Upload a description of each project on the main page of the website
 - b) Upload photographs of the project (before and after) on the main page of the website
10. Has the applicant received any state grants for capital projects in the last three years? If so please list the address and a description of the project.

Legislative Information

11. Please complete each section

Project Site Information

12. Please complete each section
13. Upload photographs of the property on the main page of the website
 - a) For buildings or structures-please include photographs of each elevation of the building and detailed photographs of the project areas
 - b) For landscapes or archaeological sites-please include photographs of the entire property and detailed photographs of the project areas

14. Is the project listed on the State or National Register of Historic Places or is the project a National Historic Landmark?
15. Please provide the Statement of Significance for the property which can be found on the National or State Register Nomination Form

Most National Register Nomination Forms can be found on the National Park Service's website:

<http://nrhp.focus.nps.gov/natreghome.do?searchtype=natreghome>

State Register Nominations Forms are located at the SHPO office. Please contact Laura to set up an appointment to make a copy of the nomination

16. Please identify the name of the architect or builder, if known. This information can be found in the State or National Register Nomination Form
17. Identify the current use of the property
18. Identify the future use of the property
19. The applicant must submit an original letter from an attorney licensed to practice in the State of Connecticut is required which identifies the following:
 1. Properties Legal Owner of Record
 2. Names of Other Parties Holding Interest
 3. A Preservation Restriction Can Be Placed on the property
 - a) Upload the legal opinion on the main page of the website
 - b) Submit the original, signed legal opinion to SHPO
20. According to the legal opinion, can a Preservation Restriction be placed on the property?
21. Identify the name and contact information of the legal owner of the property. If any other parties besides the applicant have an interest in the property, include the names and contact information for the owner and anyone with a legal interest in the property, if applicable.
22. If any other parties besides the applicant have an interest in the property, the applicant must submit notarized letters from each of the parties stating the following:
 - i. The party is aware that the applicant is applying for the grant
 - ii. The party agrees to the terms of the grant and the grant contract
 - iii. The party subordinates their interest to the Preservation Restriction

- a) Upload letters from the parties which have an interest in the party on the main page of the website
- b) Submit original signed letters to SHPO

23. Identify if the applicant owns or leases the property.

24. If the property is leased, the applicant must hold a long-term lease of at least 20 years at the time of application.

- a. Upload a copy of the lease on the main page of the website

25. If the property is leased, the applicant must submit notarized letters from the property owner stating the following:

- i. The owner is aware that the applicant is applying for the grant
- ii. The owner agrees to the terms of the grant and the grant contract
- iii. The owner subordinates their interest to the Preservation Restriction
 - a) Upload letters on the main page of the website
 - b) Submit original signed notarized letters to SHPO

26. The HRF program requires that the property is insured

- a) Upload a copy of the property's insurance policy on the main page of the website

27. If the property is located within a Local Historic District, the applicant must submit a Certificate of Appropriateness for the project from the Local Historic District Commission

- a) Upload the Certificate of Appropriateness on the main page of the website

28. Please submit a FEMA flood map.

How to create a FEMA Flood Insurance Rate Map (FIRM)

<https://msc.fema.gov/webapp/wcs/stores/servlet/FemaWelcomeView?storeId=10001&catalogId=10001&langId=-1>

If your project will affect a flood plain or will impact storm drainage facilities, the applicant must receive a permit from the Department of Energy and Environmental Protection before the work can begin

- a. Upload the FEMA FIRM map on the main page of the website

Project Information

29. Choose the project type

- i. Rehabilitation-the act or process of making possible a compatible use for a property through repair, alterations, and additions while preserving those portions or features which convey its historical, cultural, or architectural values.
- ii. Restoration- the act or process of accurately depicting the form, features, and character of a property as it appeared at a particular period of time by means of the removal of features from other periods in its history and reconstruction of missing features from the restoration period. The limited and sensitive upgrading of mechanical, electrical, and plumbing systems and other code-required work to make properties functional is appropriate within a restoration project.
- iii. Stabilization-the act of structurally stabilizing a building, based on a professional condition assessment
- iv. Archaeological Investigation-an investigation to determine the property's potential for below ground resources
- v. Acquisition-the purchase of a historic resource listed on the State or National Registers of Historic Places.

30. Provide a one sentence explanation of the project

31. Please provide a narrative of the proposed project.

32. Is the proposed project part of a phased project?

33. If the proposed project is part of a phased project, please explain what work has been done to this point and identify any funding sources (grants, tax credits, etc.).

34. Please provide a narrative describing the need for the project and an explanation of why this project is the highest priority both for the property and the applicant.

35. All HRF projects require a project consultant. In most cases the consultant will be a Historic Architect who meets the Secretary of the Interior's Professional Qualifications Standards as published in the Code of Federal Regulations, 36 CFR Part 61. In some cases, an engineer will be

the consultant and for acquisition projects, the consultant is an attorney licensed to practice in the State of Connecticut

- a) Provide the name and contact information of the consultant
- b) Identify if the consultant is a Historical Architect, Structural Engineer, or Attorney
- c) Upload a copy of the consultant's resume/CV on the main page of the website

36. Design Development drawings and specifications must be completed for all restoration, rehabilitation or stabilization projects. These drawings must be completed by a Historic Architect who meets the Secretary of the Interior's Professional Qualifications Standards as published in the Code of Federal Regulations, 36 CFR Part 61 or an engineer

- a. Upload the plans on the main page of the website
- b. Upload the specifications on the main page of the website
- c. Submit full-size hard copies of the plans and specifications to SHPO

37. All non-acquisition projects require a Construction Schedule developed by the consultant which outlines the proposed time frame for the project.

- i. Upload the Construction Schedule on the main page of the website

38. All SHPO construction grants require an easement/restriction, a copy of the Preservation Restriction can be found on our website. Does the applicant agree to the terms of the document?

39. Has the property had a Preservation Restriction in the past?

- a. if so, for what project and is it still active

40. A stipulation of the Preservation Restriction is that all projects funded with this grant program must be visible and open to the public at least twelve days a year on an equitably spaced basis and available by appointment. Please provide a proposed visitation schedule.

- a. Upload a copy of the visitation schedule on the main page of the website

41. All HRF projects must be shovel ready and the projects should go out to bid as soon as the contracts are fully executed. Projects that do not begin within 90 days of the contract execution are subject to cancelation. Does the applicant agree to these terms?

42. For acquisition projects, two real estate appraisals are required. The appraisals must be completed within 6 months of the date of application.
- a) Identify if two real estate appraisals have been completed
 - b) Upload both real estate appraisals on the main page of the website
43. For acquisition projects, please submit a notarized letter from the owner/s that states they agree to sell the property to the applicant at an agreed upon price
- a) Upload any letters from the owner/s on the main page of the website
 - b) Submit the original notarized letters to SHPO
44. If the project is an acquisition, the sale should take place within 90 days of the execution of the contract. Does the applicant agree to these terms?
45. If the project involves any ground disturbance, an archaeological survey or monitoring may be required. If the project will involve ground disturbance, please contact Cathy Labadia, Staff Archaeologist, at Catherine.Labadia@ct.gov prior to submitting an application for guidance
- a) Upload a copy of the SHPO response on the main page of the website
46. A long-term preservation plan for the property is required for this grant program. The plan should include a list of prioritized projects, expected start and completion dates, existing conditions, the current and projected use, and plans for compliance with the Americans with Disabilities Act. The plan can be completed by the consultant or the applicant.
- a. Upload a copy of the long-term preservation plan on the main page of the website
47. SHPO requires that all projects be bid according to the *Bidding, Contracting and Construction Guidelines* and all projects must meet Affirmative Action requirements. Please see the *Bidding, Contracting and Construction Guidelines* which can be found on our website. Does the applicant agree to meet these requirements?
48. Does the project involve Universal Access? Universal access is enabling every citizen an opportunity to experience a property in the same manner. This can be achieved in a variety of ways including adding ADA accessibility including ramps, elevators, entrances, etc. or comparable viewer experience.
- a. If the project will improve universal access please explain how this will occur

49. What are the desired outcomes/effects of this project for the applicant and the community at large?
50. What are the economic and community benefits of the project?
51. What is the impact of the project on the community--Local, State, and regionally?
52. Does the project have community support? All projects funded by SHPO should have public support.
- a) Upload any letters of support on the main page of the website
53. Will the project create any new, permanent positions? Please indicate how many, if any, permanent jobs will be added by the project and what types of jobs they will be.
54. Will the project allow for new visitors to the property? Is the property used on a regular basis by the community for example a town hall, post office, library, police or fire station, etc.?
- a) If yes, please explain how this will occur
55. Does the project involve coordination with the Office of Arts or the Office of Tourism?
- a) If yes, please explain

The mission of the Office of the Arts is to develop and strengthen the arts in Connecticut and to make artistic experiences widely available to residents and visitors. Information on the Office of the Arts can be found at:

<http://www.cultureandtourism.org/cct/cwp/view.asp?a=3948&q=464520>

The mission of the Office of Tourism is to make tourism a leading economic contributor and a source of pride for Connecticut. Information on the Office of Tourism can be found at

<http://www.cultureandtourism.org/cct/cwp/view.asp?a=3948&q=464698>

Financial Information

56. Identify the amount of funding requested. The grant is a matching reimbursement grant; therefore the grant amount requested should be 50% of the total project amount. Grant awards range from \$5,000-200,000.
57. This program is a reimbursement grant; therefore the funds for the entire project must be available and restricted for the purposes of this project. Does the applicant have the funding available for this project?
58. As stated above, program is a reimbursement grant, please explain how the applicant will pay for the project prior to reimbursement.
- a) Upload the last three year's financial statements and the current year and next year's projections on the main page of the website.
59. State funds cannot be used to match the HRF grant. Does the applicant have the funding for the project from non-state sources?
60. A signed Financing Plan & Budget and a detailed budget completed by the project consultant are required with the application. The Financing Plan & Budget can be on our website. Please note there are six tabs on the form
- a) Upload the Financing Plan & Budget on the main page of the website
 - b) Submit original signed Financing Plan & Budget to SHPO
 - c) Upload a copy of the detailed budget prepared by the project consultant on the main page of the website
61. Once the application is completed, click Submit

Historic Restoration Fund Grants Application Checklist

Required Items	Included	N/A	Comments
Project Narrative	<input type="checkbox"/>	<input type="checkbox"/>	
Construction/Project Schedule	<input type="checkbox"/>	<input type="checkbox"/>	
Photographs	<input type="checkbox"/>	<input type="checkbox"/>	
Long-Term Preservation Plan			
Letter from an attorney	<input type="checkbox"/>	<input type="checkbox"/>	
Design Development Level Plans and Specifications	<input type="checkbox"/>	<input type="checkbox"/>	
Two Real Estate Appraisals	<input type="checkbox"/>	<input type="checkbox"/>	
Letter from the property owner/s authorizing application	<input type="checkbox"/>	<input type="checkbox"/>	
Letter from the property owner/s agreeing to sell the property at an agreed upon price	<input type="checkbox"/>	<input type="checkbox"/>	
Schedule of Public Visitation	<input type="checkbox"/>	<input type="checkbox"/>	
Proof of Insurance	<input type="checkbox"/>	<input type="checkbox"/>	
Certificate of Title	<input type="checkbox"/>	<input type="checkbox"/>	
Long-Term Lease	<input type="checkbox"/>	<input type="checkbox"/>	
Consultant's Resume	<input type="checkbox"/>	<input type="checkbox"/>	
Past 3 years financial statements	<input type="checkbox"/>	<input type="checkbox"/>	
501(c)3 or 501(c)13 IRS tax status determination letter	<input type="checkbox"/>	<input type="checkbox"/>	
Certified Resolution	<input type="checkbox"/>	<input type="checkbox"/>	

Department of Economic and
Community Development

State Historic Preservation Office



Financial Plan and Budget	<input type="checkbox"/>	<input type="checkbox"/>	
W-9	<input type="checkbox"/>	<input type="checkbox"/>	
Vendor Profile Form	<input type="checkbox"/>	<input type="checkbox"/>	
Financing Plan & Budget	<input type="checkbox"/>	<input type="checkbox"/>	
FEMA FIRM Map	<input type="checkbox"/>	<input type="checkbox"/>	
Letters of Support	<input type="checkbox"/>	<input type="checkbox"/>	

Applicant Name: _____

Project Name: _____

Amount Requested: \$ _____

Signature: _____ Date _____

If you have questions regarding Historic Restoration
Fund Grant program please contact

Laura Mancuso at Laura.Mancuso@ct.gov or 860-256-
2757